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WA, OR, ID

INCLUDE ALL TASKS SHOWN ON THIS FORM**STATEMENT OF WORK FOR**

The applicant, _____, agrees to undertake the following activities in accordance with its FY 2002 application for funding under the _____ Initiative--_____Component (if applicable) for a ____-month project commencing _____, 2002 in the geographic area of _____. For FHOI, provide a timetable for transfer of activities/responsibilities from the sponsoring to the sponsored organization.

APPENDIX C - FORMS

Forms that must be filed with all FHIP applications, in addition to the forms listed in the **General Section** are included below:

ADMINISTRATIVE ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
1.			GTR/GTM
2.			GTR/GTM
3.			GTR/GTM
4.			GTR/GTM
5.			GTR/GTM
6. Complete HUD-2880 Disclosure Statements	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report	When changes occur	GTR/GTM
7. Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities	Submit SF-269A and Copy of Written Report	Quarterly	GTR/GTM
8. Voucher for Payment	Submit payment request to LOCCS	Per Payment Schedule	GTR/GTM
9. Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements	Submit Listing for Recipient and any contractors	45 Days and At end of Grant	GTR/GTM
10. Prepare summary of First Year (24 month grants)	Submit summary of first year accomplishments.	395 days	GTR/GTM

ADMINISTRATIVE ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
11. Prepare and Submit Draft of Final Report	Submit Draft of Report. Report Summary should include objectives, accomplishments and results. Complaint and testing activities should summarize data on complaints received and tests conducted by basis and issue and outcomes including Number of credible, legitimate Complaints Filed with HUD, State or local Fair Housing Agency, Department of Justice or Private Litigator; and Types of Relief/Results.	One month before end of grant term.	GTR/GTM
12. Complete Final Report and Provide Copies of All Final Products Not Previously Submitted	Submit a copy of the Final Report and All Final Products not previously submitted to GTR and GTM.	Within 90 days after end of grant term.	GTR/GTM
13. Submit 2 copies of Final Report and all Final Program Products produced under the Grant (with diskette, where feasible) to HUD.	Activities and database entry sheet(s) to HUD Copy of HUD database entry sheet(s) or detailed description of items submitted to GTR and GTM	Within 90 days after end of grant term.	GTR/GTM/

KEY PERSONNELTitleName

PROGRAM ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
1. Contact HUD and/or other information sources to obtain any appropriate materials prior to development of new materials	List of materials requested	90 days	GTR/GTM. Submit one copy of all final products to HUD
2. Review/refine referral process to refer potential victims to HUD, DOJ, a state or local agency, or a private attorney	Copy of Referral Process. All audit-based enforcement actions should be referred to HUD.	45 days	GTR/GTM
3. Intake and process complaints, including testing and referral. Complete Enforcement Log which details complaints received; dates; the protected basis of these complaints; the issue, test type, and number of tests utilized in the investigation of each allegation; the respondent type and testing results; the time for case processing, including administrative or judicial proceedings; the cost of testing activities and case processing; to whom the case was referred; and resolution/type of relief sought and received. (PEI and FHOI PROJECTS ONLY)	Submit copy of Enforcement Log and a Report on number of enforcement proposals referred to HUD.	Quarterly	GTR/GTM

PROGRAM ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
4. Non-rental Testing methodology and tester training must be received/approved by HUD.	Submit testing methodology and tester training to HUD for review and approval.	60 days	GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM

BUDGET NARRATIVE WORKPLAN FORMAT

Name of Organization:

Budget Period: _____ months

Position or Individual	Estimated Hours	Rate Per Hour	Estimated Cost	Federal Cost	In-Kind
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
TOTAL DIRECT LABOR	\$			\$	\$
Fringe Benefits	Rate	Base	Estimated Cost	Federal Cost	In-Kind
F.I.C.A.		\$	\$	\$	\$
Unemployment Insurance ¹		\$	\$	\$	\$
Health Insurance ²		\$	\$	\$	\$
Workers Compensation ¹		\$	\$	\$	\$
TOTAL FRINGE BENEFITS	\$			\$	\$
Materials	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
TOTAL MATERIALS	\$			\$ *	\$
Local Travel	Mileage/Fare	Rate/Mi.	Estimate Cost	Federal Cost	In-Kind
		\$	\$	\$	\$
		\$	\$	\$	\$
SUBTOTAL LOCAL TRAVEL	\$			\$	\$

* Materials/Equipment prices must be supported by vouchers/cash register receipts of same or similar item or lease quotes from vendor at time of budget negotiation

¹ Rates may vary by State.

² Rates may vary by organization.

Air Travel Destination	Number of Travelers	Roundtrip Fare	Estimated Cost	Federal Cost	In-Kind Cost
	\$	\$	\$	\$	\$
Subtotal Air Travel	\$			\$	\$
Other Travel Items	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
		\$	\$	\$	\$
		\$	\$	\$	\$
Subtotal Other Travel	\$			\$	\$
Per Diem Subsistence	Number of Travelers	Number of Days/Rate Per Day	Estimated Cost	Federal Cost	In-Kind Cost
			\$	\$	\$
Per Diem Subsistence	\$			\$	\$
TOTAL TRAVEL	\$			\$ *	\$
Equipment	Quantity	Unit Cost	Estimate Cost	Federal Cost	In-Kind Cost
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
TOTAL EQUIPMENT COSTS	\$			\$ **	\$
Consultants	Days	Rate Per Day	Estimated Cost	Federal Cost	In-Kind Cost
Qq		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
TOTAL CONSULTANTS	\$			\$ ***	\$

* All travel must be grant related and rates not exceed the Federal rate

** Lease/purchase of equipment must be supported by three quotes at time of budget negotiation

***Daily rate for FY 2002 cannot exceed GS 15 Step 10, unless a waiver is obtained from Grant Officer

Subcontracts	Rate/Service	Quantity	Estimated Cost	Federal Cost	In-Kind Cost
			\$	\$	\$
TOTAL SUBCONTRACTS	\$			\$ *	\$
Other Direct	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
TOTAL OTHER DIRECT	\$			\$	\$
Indirect	Rate	Base	Estimated Cost	Federal Cost	In-Kind Cost
	**		\$	\$	\$
TOTAL INDIRECT	\$			\$	\$
	Total Estimated Cost			Total Federal Cost	Total In-Kind Cost
TOTAL COSTS	\$			\$	\$
Amount To Enter on Form 424 Funding Matrix	\$			\$	\$

*When individual subcontract fees exceed 10% of your grant amount, an itemized budget is required.

** If you have a Federally negotiated indirect rate, you should use that rate and the appropriate base in this section. In all other instances, you should include your current overhead rate, if any, which has been tailored to your organization's operating budget. The rate and base used here is illustrative only and you must use your organization's rate.

Cover Page FY 2002 FHIP Application

Check Initiative/Component (only one box) for which the application is being submitted.
Submit a separate application for each Initiative/Project for which funding is sought.

Applicant Name _____

Initiative/Component	Catalog of Federal Domestic Assistance No.
Private Enforcement Initiative	14-410
Education and Outreach Initiative/Regional-Local-Community Based Program	14-409
General Component	14-409
Disability Component	14-409
National Program Media Campaign Component	14-409
National Program Fair Housing Awareness Component	14-409
Fair Housing Organizations Initiative	14-413

If you submit more than one application, you must indicate in the table below all Initiatives for which you are applying. In addition, if you apply for funding under more than one Initiative or Component, you must state your priority for selection and submit your preference in the table below. If you fail to submit your preference, your application will be deemed technically deficient.

Applicant's Preference for Award

Initiative/Component	Applied (Yes or No)	Rank-Order Preference
Private Enforcement Initiative		
EOI-Regional/Local/Community based <u>Disability</u> Component		
EOI-Regional-Local/Community based <u>General</u> Component		
EOI-National Program <u>Media Campaign Component</u>		
EOI-National Program <u>Fair Housing Awareness</u> Component		
Fair Housing Organizations Initiative		

Checklist for Completeness of Application

Use this checklist to ensure that your application includes all required items

Copy of SF-424 (Place a copy of the SF-424 and attached HUD-424-M (Matrix) on top of application package. See **General Section** for procedures on Consolidated Applications.

Transmittal Letter

Cover Page

Checklist for Completion of Applications

Project Abstract Outlining Project Activities

Code of Conduct

Factor No. 1 Narrative

Factor No. 1 Attachments: Performance Assessment/Evaluation of Past Performance, Statement of Eligibility, Tester Experience, Letter of Determination from IRS on 501(c)(3), if applicable.

Factor No. 2 Narrative

Factor No. 3 Narrative

Factor No. 3 Attachments: Statement of Work, Budget Form(s), Budget Narrative, Audit Information.

Factor No. 4 Narrative.

Factor No. 4 Attachments: Letter(s) of Firm Commitment

Factor No. 5 Narrative.

Responses to Additional Requirements for Specific Initiative/Project

Application Forms and Certifications

SF-424 Application for Federal Assistance and HUD-424-M (Matrix)

SF-424-A Budget Information - Non-construction Programs

SF-424 B Standard Assurances - Non-construction Programs

Applicant Disclosure Report (HUD-2880)

Certification of Payments to Influence Federal Transactions (HUD-50071)

OMB SF-LLL Disclosure of Lobbying Activities

Certification for a Drug-Free Workplace (HUD-50070)

Certification of Consistency with the EZ/EC Strategic Plan (HUD-2990), if applicable

Certification of Consistency with the Consolidated Plan (HUD-2991)

Certification Regarding Debarment and Suspension (HUD-2992)

List of Current or Pending Financial Agreements

Acknowledgment of Application Receipt (HUD-2993)

Client Comments and Suggestions (HUD-2994)

Certification of Key Personnel (HUD 40076)

Code of Conduct

STATEMENT OF ELIGIBILITY

The Completed Statement of Eligibility is required for all the Private Enforcement and Fair Housing Organizations Initiatives applicants. (You may attach additional pages if necessary.) Failure to complete and submit this Statement of Eligibility with the application will be deemed a 'technical deficiency'. (See Section V of the General Section of the SuperNOFA)

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Check Appropriate Box: (Note: Only QFHOs are eligible for FHOI)

☐ PRIVATE ENFORCEMENT INITIATIVE

☐ FAIR HOUSING ORGANIZATIONS INITIATIVE

1) What is your organizational Status?

Is your organization a private, tax-exempt, nonprofit, charitable organization?

☐ YES

☐ NO

If yes, have you attached a copy of the "Letter of Determination" from the Internal Revenue Service confirming your status as a 501(c)(3) tax-exempt organization.

☐ YES

☐ NO

2) Are you a Qualified Fair Housing Organization (QFHO) or a Fair Housing Organization (FHO) with at least one year's experience in complaint intake, complaint investigation, testing for fair housing violations, and meritorious claims? If you check "no", you are not eligible under this initiative. If you check "yes", you must answer the remaining questions.

☐ YES

☐ NO

Please check whether you are a QFHO or an FHO as noted.

☐ QFHO (entity with at least 2 years of enforcement-related experience)

☐ FHO (entity with at least 1 year of enforcement-related experience)

3) Is your project broad-based and full service? If you check "no", your organization is not eligible to apply under this initiative. If you check "yes", you must answer the remaining questions.

☐ **YES**

☐ **NO**

4) Briefly describe your experiences in each of the following fair housing enforcement activities. Your organization must have engaged in each of these activities for at least one year in the two years preceding the filing of this application. It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for at least one year within the past two years. (Do not limit this description to FHIP funded enforcement activities.)

When responding to the following, include dates, so that HUD can readily determine whether you have met the "at least one year" requirement.

- a) Number of complaints received and processed, by basis (e.g. race, color, religion, sex, disability, familial status, and national origin) and issue (e.g. rental, sales, lending).**
- b) Number of complaints referred to HUD for investigation.**
- c) Describe your testing program, types of tests (rental, sales, lending, insurance, and basis (e.g. race, color, religion, sex, disability, familial status, and national origin)), including number of tests conducted (both individual and systemic).**
- d) Describe the investigative experience, apart from testing, conducted by your organization.**
- e) Summarize the complaint outcomes, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.**

5) Has your organization used FHIP funds for the payment of expenses in connection with litigation against the United States?

☐ **YES**

☐ **NO**

6) Has your organization used FHIP funds to settle a claim, satisfy a judgment or fulfill a court order in any defensive litigation?

☐ **YES**

☐ **NO**

Signature of Authorized Representative

Date

***Certification is for FY 2002 NOFA**

All Current or Pending Grants/Contracts/Other Financial Agreements

All applicants are required to list all current or pending grants, contracts, or other financial agreements. The listing must include the name and address of the funding source, a brief description of the project services/activities, the start and end dates for the grant or contract, and the amount of the contract or grant. This list must be updated during the negotiations for any award under the FY 2002 FHIP, as provided for in the grant agreement schedule of articles.

A sample listing is provided below.

A blank form is provided for your use also, or you may submit the information in any convenient format.

Sample Format

Listing of Current and Pending Grants/Contracts/Other Financial Agreements

Name and Address of Entity or Organization	Brief Description of Services/Activities Provided	Dollar Amount of Grant or Contract	Start Date and Expiration Date

If the current or pending grant is a FHIP grant, please include your FHIP grant number.

Listing of Current and Pending Grants/Contracts/Other Financial Agreements

Name and Address of Entity or Organization	Brief Description of Services/Activities Provided	Dollar Amount of Grant or Contract	Start Date and Expiration Date

If the current or pending grant is a FHIP grant, please include your FHIP grant number.

APPENDIX D**FHAP AGENCY NAMES****NEW ENGLAND REGION****CONNECTICUT**

State Agency: Connecticut Commission on Human Rights and Opportunities
Hartford, CT 06106

MASSACHUSETTS

State Agency: Massachusetts Commission Against Discrimination
Boston, MA 02108

Localities: Boston Fair Housing Commission
City of Boston Office of Civil Rights
Boston, MA 02201

Cambridge Human Rights Commission
Cambridge, MA 02139

MAINE

State Agency: Maine Human Rights Commission
Augusta, ME 04333-0051

RHODE ISLAND

State Agency: Rhode Island Commission for Human Rights
Providence, RI 02903-3768

VERMONT

State Agency: Vermont Human Rights Commission
Montpelier, VT 05633-6301

NEW YORK/NEW JERSEY REGION**NEW YORK**

State Agency: New York State Division of Human Rights
New York, NY 10027

Localities: Rockland County Commission on Human Rights
Pomona, NY 10970

MID-ATLANTIC REGION

DELAWARE

State Agency: Delaware Division of Human Relations,
Wilmington, DE 19801

MARYLAND

State Agency: Maryland Commission on Human Relations
Baltimore, MD 21202

PENNSYLVANIA

State Agency: Pennsylvania Human Relations Commission
Harrisburg, PA 17101-2702

Localities: Pittsburgh Human Relations Commission
Pittsburgh, PA 15219

Reading Commission on Human Relations
Reading, PA 19601

York City Human Relations Commission
York, PA 17403

VIRGINIA

State Agency: Virginia Department of Professional and Occupational Regulation,
Fair Housing Administration, Real Estate Board
Richmond, VA 23230-4917

WEST VIRGINIA

State Agency: West Virginia Human Rights Commission
Charleston, WV 25301

Localities: Charleston Human Rights Commission
Charleston, WV 25301

Huntington Human Relations Commission
Huntington, WV 25701

DISTRICT OF COLUMBIA

District of Columbia Office of Human Rights
Washington, DC 20001

SOUTHEAST/CARIBBEAN REGION

FLORIDA

State Agency: Florida Commission on Human Relations
Tallahassee, FL 32302

Localities: City of Bradenton
Community Development Department
Bradenton, FL 34205

Lee County Office of Equal Opportunity
Fort Myers, FL 33901

Jacksonville Equal Opportunity Commission
Jacksonville, FL 32202

Orlando Human Relations Department
Orlando, FL 32801

Palm Beach County Office of Human Rights
West Palm Beach, FL 33401

Pinellas County Office of Human Rights
Clearwater, FL 33756

St. Petersburg Human Relations Department
St. Petersburg, FL 33701

Tampa Office of Human Rights
Tampa, FL 33602

Hillsborough County Board of County Commissioners
Tampa, FL 33602

KENTUCKY

State Agency: Kentucky Commission on Human Rights
Louisville, KY 40202-0069

Localities: Lexington-Fayette Urban County Human Rights
Commission
Lexington, KY 40507

Louisville and Jefferson County Human Relations
Commission
Louisville, KY 40202

GEORGIA

State Agency: Georgia Commission on Equal Opportunity
Atlanta, GA 30303-1605

NORTH CAROLINA

State Agency: North Carolina Human Relations Commission
Raleigh, NC 27603

Localities: City of Charlotte/Mecklenburg County Community Relations
Committee (Charlotte)
Charlotte, NC 28202

City of Charlotte/Mecklenburg County Community Relations
Committee (Mecklenburg County)
Charlotte, NC 28202

City of Asheville
Asheville, NC 28802

Asheville/Buncombe County Community Relations Council
Asheville, NC 28801

Durham Human Relations Commission
Durham, NC 27701

Greensboro Human Relations Department
Greensboro, NC 27402

New Hanover County Human Relations Commission
Wilmington, NC 28401

Orange County Human Relations Commission
Hillsborough, NC 27278

Winston-Salem Human Relations Commission
Winston-Salem, NC 27105

TENNESSEE

State Agency: Tennessee Human Rights Commission
Nashville, TN 37243

Localities: City of Knoxville Department of Community
Development
Knoxville, TN 37902

SOUTH CAROLINA

State Agency: South Carolina Human Affairs Commission
Columbia, SC 29240

MIDWEST REGION

ILLINOIS

Localities: Springfield Community Relations Commission
Springfield, IL 62701

INDIANA

State Agency: Indiana Civil Rights Commission
Indianapolis, IN 46204-2255

Localities: Elkhart Human Relations Commission
Elkhart, IN 46516

Fort Wayne Metropolitan Human Relations Commission
Fort Wayne, IN 46802

Gary Human Relations Commission
Gary, IN 46402

Hammond Human Relations Commission
Hammond, IN 46320

South Bend Human Relations Commission
South Bend, IN 46617

MICHIGAN

State Agency: Michigan Department of Civil Rights
Lansing, MI 48913

OHIO

State Agency: Ohio Civil Rights Commission
Columbus, OH 43205-1379

Localities: Dayton Human Relations Council
Dayton, OH 45402

Parma Law Department
Parma, OH 44129-5593

Shaker Heights Fair Housing Review Board
Shaker Heights, OH 44120

SOUTHWEST REGION

LOUISIANA

State Agency: Louisiana Public Protection Division
Baton Rouge, LA 70801

OKLAHOMA

State Agency: Oklahoma Human Rights Commission
Oklahoma City, OK 73105

TEXAS

State Agency: Texas Commission on Human Rights
Austin, TX 78723

Localities: Austin Human Rights Commission
Austin, TX 78701

Department of Human Relations
Corpus Christi, TX 78401

City of Dallas Fair Housing Office
Dallas, TX 75201

Fort Worth Human Relations Commission
Fort Worth, TX 76102

Garland Office of Housing and Neighborhood Services
Garland, TX 75040

GREAT PLAINS

IOWA

State Agency: Iowa Civil Rights Commission
Des Moines, IA 50319

Localities: Cedar Rapids Civil Rights Commission
Cedar Rapids, IA 52401-1256

Davenport Civil Rights Commission
Davenport, IA 52801

Des Moines Human Rights Commission
Des Moines, IA 50309

Dubuque Human Rights Department
Dubuque, IA 52001-4932

Sioux City Human Rights Commission
Sioux City, IA 51101

Waterloo Commission on Human Rights
Waterloo, IA 50703

Mason City Human Rights Commission
Mason City, IA 50401

KANSAS

Lawrence Human Relations Commission
Lawrence, KS 66044

Community and Neighborhood Services Department
Olathe, KS 66061

Salina Human Relations Department
Salina, KS 67401

City of Topeka Human Relations Commission
Topeka, KS 66603

MISSOURI

State Agency: Missouri Commission on Human Rights, Department of Labor
Jefferson City, MO 65109

Localities: Kansas City (MO) Human Relations
Kansas City, MO 64106

NEBRASKA

State Agency: Nebraska Equal Opportunity Commission
Lincoln, NE 68509-4934

Localities: Lincoln Commission on Human Rights
Lincoln, NE 68508

Omaha Human Relations Department
Omaha, NE 68183-0502

ROCKY MOUNTAINS

COLORADO

State Agency: Colorado Civil Rights Division
Denver, CO 80202

NORTH DAKOTA

State Agency: North Dakota Department of Labor
Bismarck, ND 58505-0340

UTAH

State Agency: Utah Anti-Discrimination Division
Salt Lake City, UT 84114

PACIFIC/HAWAII REGION**ARIZONA**

State Agency: Civil Rights and Conflict Resolution Section
Arizona Attorney General's Office
Phoenix, AZ 85007-2926

Localities: City of Phoenix Equal Opportunity Department
Phoenix, AZ 85003

CALIFORNIA

State Agency: California Department of Fair Employment and Housing
Sacramento, CA 95812

HAWAII

State Agency: Hawaii Civil Rights Commission
Honolulu, HI 96813

NORTHWEST/ALASKA REGION**WASHINGTON**

State Agency: Washington State Human Rights Commission
Olympia, WA 98504-2490

Localities: King County Office of Civil Rights
Seattle, WA 98104-2628

Seattle Human Rights Department
Seattle, WA 98104-1849

Tacoma Human Rights Department
Tacoma, WA 98402

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

HOUSING COUNSELING

Billing Code 4210-32-C

FUNDING AVAILABILITY FOR THE HOUSING COUNSELING PROGRAM PROGRAM OVERVIEW

Program Purpose. This program supports the delivery of a wide variety of housing counseling services to homebuyers, homeowners, low- to moderate-income renters, and the homeless. The primary objectives of the program are to expand homeownership opportunities and improve access to affordable housing. Counselors provide guidance and advice to help families and individuals improve their housing conditions and meet the responsibilities of tenancy and homeownership.

Agencies funded through this program may also provide Home Equity Conversion Mortgage (HECM) counseling to elderly homeowners who are looking to convert equity in their homes into income that can be used to pay for home improvements, medical costs, living expenses, or other expenses.

Available Funds. Approximately \$18.25 million.

Eligible Applicants. (1) HUD-approved local housing counseling agencies (LHCAs); (2) HUD-approved national and regional intermediaries; and (3) State housing finance agencies (SHFAs).

Application Deadline. May 17, 2002. **Match.** No specific ratio required. However, in order to receive points under rating factor 4, applicants are required to demonstrate the commitment of other private and public sources of funding to supplement HUD funding for the applicant's counseling program. HUD does not intend for its housing counseling grants to cover all costs incurred by an applicant.

ADDITIONAL INFORMATION

I. Application Submission, Further Information and Technical Assistance

Application Submission. In addition to reviewing the applicable instructions below, all applicants should consult the General Section of this SuperNOFA and review the new security procedures that affect application submission.

Local Housing Counseling Agencies (LHCAs) and State Housing Finance Agencies (SHFAs) applying under Categories 1 and 3 must submit an original and two copies of a complete application to the Homeownership Center (HOC) whose jurisdiction includes the geographic area in which the applicant is proposing to work (see Appendix B.) *Applications submitted to a HOC must be mailed via the United States Postal Service.* HUD will not accept hand delivered applications. Your application will be considered

timely if it is postmarked on or before 12 midnight on May 17, 2002 and received by the designated HUD office on or within fifteen (15) days of the application due date. *All applicants must obtain and save a Certificate of Mailing* showing the date when you submit your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was filed on time. Applications should be sent to the attention of the Program Support Division Director, and the envelope should be clearly marked "FY 2002 Housing Counseling Grant Application."

National and regional housing counseling intermediaries applying under Category 2 must submit an original and two copies of a complete application to Director, Program Support Division, Room 9166, Office of Single Family Housing, HUD Headquarters, 451 Seventh Street, SW., Washington, DC 20410. HUD will not accept hand delivered applications. Applications may be mailed using the United States Postal Service (USPS) or may be shipped via the following delivery services: United Parcel Service (UPS), FedEx, DHL, or Falcon Carrier. *No other delivery services are permitted into HUD Headquarters without escort. You must, therefore, use one of the four carriers listed above.* The envelope should be clearly marked, "FY 2002 Housing Counseling Intermediary Application."

Mailed Applications. Your application will be considered timely if it is postmarked on or before 12 midnight on May 17, 2002 and received by the designated HUD office on or within fifteen (15) days of the application due date. All applicants must obtain and save a *Certificate of Mailing* showing the date when you submit your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was filed on time.

Applications Sent by Overnight/Express Mail Delivery. If your application is sent to HUD Headquarters by overnight delivery or express mail, your application will be considered on time if it is received before or on May 17, 2002, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date. Again, you must use one of the four carrier services listed above. Delivery by these services must be made during HUD Headquarters' business

hours, between 8:30 AM and 5:30 PM Eastern Time, Monday to Friday. If these companies do not service your area, you should submit your application via the United States Postal Service.

Grant Application—Colonias. Applicants applying under Category 4 must submit an original and two copies of a complete application to the Santa Ana HOC (see Appendix B.) The Santa Ana HOC will be evaluating all applications submitted from across the country. Applications should be sent to the attention of the Program Support Division Director, and the envelope should be clearly marked "FY 2002 Housing Counseling—Colonias Application". Applications submitted to a HOC must be mailed *via the United States Postal Service.* HUD will not accept hand delivered applications. Your application will be considered timely if it is postmarked on or before 12 midnight on May 17, 2002 and received by the Santa Ana HOC on or within fifteen (15) days of the application due date. *All applicants must obtain and save a Certificate of Mailing* showing the date when you submit your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was filed on time.

Application Kits. There is no application kit. Specific application submission requirements are outlined in Section V.

Further Information. Local housing counseling agencies and State housing finance agencies should call the HOC serving their area (See Appendix B for the contact information for the HOCs). National and regional intermediaries should contact HUD Headquarters, Program Support Division at (202) 708-0317 (this is not a toll-free number). Persons with hearing or speech impairments may access any of these numbers via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. These are not toll free telephone numbers.

Satellite Broadcast. HUD will hold an informational broadcast via satellite for potential applicants to learn more about the program and the application. For more information about the date and time of the broadcast, consult the HUD web site at <http://www.hud.gov/grants>.

II. Amount Allocated

Under this SuperNOFA, approximately \$18.25 million of the \$20 million appropriated in FY 2002 is made available for eligible applicants, including \$250,000 for counseling services that specifically target Colonias.

An allocation of up to \$1 million of the \$20 million total in program funding has been set aside for housing counseling support which may include continuation of the Housing Counseling Clearinghouse, tuition assistance for housing counselors, and/or other HUD counseling initiatives and activities. An allocation of up to \$750,000 of the \$20 million appropriated is available for the

Home Equity Conversion Mortgage (HECM) Program, as provided in section 255(k) of the National Housing Act (12 U.S.C. 1715z-20).

III. Grant Categories/Eligible Applicants

Grant Categories—Under the Housing Counseling Program, HUD awards grants to qualified public or private

nonprofit organizations to provide housing counseling services through four grant categories: (1) Local Housing Counseling Agencies (LHCA); (2) National and Regional Intermediaries; (3) State Housing Finance Agencies (SHFA); and (4) Agencies Serving Colonias.

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<i>Grant Categories</i>	<i>Who Eligible</i>	<i>Total Amount Available</i>
Category 1 – LHCAs	HUD-approved LHCAs	\$6.6 million
Category 2 – Regional and National Intermediaries	HUD-approved regional and national intermediaries	\$10.4 million
Category 3 – SHFAs	SHFAs	\$ 1 million
Category 4 – Colonias	HUD-approved LHCAs, HUD-approved regional and national intermediaries, and SHFAs	\$250,000

Eligibility—HUD-approved LHCAs,
HUD-approved national or regional

intermediaries, and SHFAs are eligible
for funding under Category 4, Colonias,

as described below. Applicants applying
under Category 4 may also apply under

one of the other three categories, as described below. A separate application must be submitted for Category 4, in addition to an application for funding under any other category. See Section I, 'Application Submission,' above for details on where to submit applications.

HUD-approved LHCA's may only apply for and receive grants under Categories 1 and/or 4, or Category 4 and/or one sub-grant from an intermediary under Category 2 or 3. HUD-approved LHCA's that apply under Category 1 are prohibited from also applying for a sub-grant from an intermediary under Category 2 or 3. LHCA's that are not HUD-approved, but are affiliates or branches of SHFA's or national or regional intermediaries, may apply for and receive only one sub-grant from an intermediary under Category 2 or 3, but not both, and/or a sub-grant from an intermediary under category 4, Colonias. They are not, however, eligible to apply directly under Category 4.

HUD-approved national and regional intermediaries may only apply for grants under Categories 2 and/or 4.

SHFA's may only apply for grants under Categories 3 and/or 4.

Category 1—Local Housing Counseling Agencies (LHCAs).

Approximately \$ 6.6 million is available from HUD to directly fund HUD-approved LHCA's.

Eligible applicants include private and public nonprofit organizations that secure HUD-approval as of the publication date of this SuperNOFA, and retain such approval through the term of any grant awarded. For information on securing HUD-approval as a LHCA, contact the HOC within whose jurisdiction you are located (see Appendix B).

Award: No individual LHCA may be awarded more than \$100,000. HUD anticipates that the average award will be approximately \$18,500.

Funding allocation: Funding is allocated to each HOC jurisdiction by a formula that reflects the increased emphasis on the expansion of homeownership opportunities for first-time homebuyers and HUD's intent to ensure appropriate geographical distribution of program funds.

Allocations for use in local agency programs by HOC are as follows:

HOC	Funding allocation
Philadelphia HOC	\$1,861,698
Atlanta HOC	1,924,468
Denver HOC	1,469,281
Santa Ana	1,344,553
Total	\$6.6 million

Category 2—National and Regional Intermediaries. Approximately \$10.4 million is available from HUD to directly fund HUD-approved national and regional intermediaries.

Eligible applicants include private and public nonprofit organizations that secure HUD-approval as national or regional intermediaries as of the publication date of this SuperNOFA, and retain such approval through the term of any grant awarded. For information on securing HUD approval as an intermediary, contact the HUD Headquarters Program Support Division at (202) 708-0317.

Intermediaries provide sub-grants to affiliates. Eligible sub-grantees are not required to be HUD-approved, although HUD-approved LHCA's may apply to an intermediary as a sub-grantee. Intermediaries that award sub-grants to affiliates that are not HUD-approved must assure that said affiliates meet or exceed the standards, as specified in paragraph 2-1 of HUD Handbook 7610.1, Rev-4, CHG-1, for HUD-approved LHCA's. To be eligible for a sub-grant, affiliates must certify in the sub-grant agreement that they have not applied for or received a grant under Category 1, or a sub-grant from another intermediary under Category 2, or a sub-grant from a SHFA under Category 3.

Awards for HUD-approved national and regional intermediaries may not exceed \$1.5 million and \$500,000, respectively.

Category 3—State Housing Finance Agencies (SHFA). Approximately \$1 million is available to fund SHFA's that provide housing counseling services directly or serve as intermediaries to affiliates who offer housing counseling services.

Eligible applicants are entities that satisfy the definition in 24 CFR 266.5 of a "housing finance agency." SHFA's and eligible sub-grantees/affiliates do not need HUD-approval in order to receive these funds. HUD-approved LHCA's may apply to a SHFA as a sub-grantee. SHFA's that award sub-grants to affiliates that are not HUD-approved must assure that said affiliates meet or exceed the standards, as specified in paragraph 2-1 of HUD Handbook 7610.1, REV-4, CHG-1, for HUD-approved LHCA's. To be eligible for a sub-grant, affiliates must certify in the sub-grant agreement that they have not applied for or received a grant under Category 1, or a sub-grant from a HUD-approved intermediary under Category 2, or a sub-grant from another SHFA.

Award: There is no cap on the award amount that a SHFA, or its affiliates, may receive.

Funding Allocation: The amount of funding available to each of the four HUD Homeownership Center jurisdictions is as follows:

HOC	Funding allocation
Atlanta, GA	\$254,285
Denver, CO	254,285
Philadelphia, PA	267,145
Santa Ana, CA	224,285
Total	1,000,000

Category 4—Colonias. Approximately \$250,000 is available for housing counseling services that specifically target Colonias.

Eligible applicants include LHCA's and national or regional intermediaries that secure HUD-approval as of the date of the SuperNOFA publication, and retain such approval through the term of any grant awarded. SHFA's are also eligible.

Intermediaries provide sub-grants to affiliates. Eligible sub-grantees are not required to be HUD-approved, although HUD-approved LHCA's may apply to an intermediary as a sub-grantee. Intermediaries that award sub-grants to affiliates that are not HUD-approved must assure that said affiliates meet or exceed the standards, as specified in paragraph 2-1 of HUD Handbook 7610.1, REV-4, CHG-1, for HUD-approved LHCA's.

Award: There is no cap on the award amount.

IV. Eligible Activities

(A) Grantees or sub-grantees directly providing housing counseling services under Categories 1 through 4 may use their HUD housing counseling funds for one or more of the following eligible activities:

(1) *Pre-Occupancy Counseling.* This includes the following types of one-on-one counseling: pre-purchase, pre-rental, search assistance/mobility, fair housing, budgeting for mortgage or rent payments, money management, and housing care and maintenance. This also may include guidance on how to apply for housing assistance, how to identify and avoid predatory lending practices, as well as referrals to community or homeless services.

(2) *Homebuyer Education Programs.* These programs are housing related education programs in which educational materials are used in training sessions for multiple participants, including HUD's Homebuyer Education and Learning Program (HELP). For a typical homebuyer education program, participants complete eight to twelve

course hours. Agencies that provide this service must also offer individual counseling to complement group sessions.

(3) *Post-Purchase/Mortgage Default and Rent Delinquency Counseling*. This includes counseling on how to: restructure debt, obtain recertification for rent subsidy, establish reinstatement plans, seek loan forbearance, and manage household finances. This counseling can also include helping victims of predatory lending, educating clients on renter's and landlord's rights, explaining the eviction process, providing referrals to other sources, and assisting clients with locating alternative housing or pursuing loss mitigation strategies.

(4) *Post-Purchase/Post-Occupancy Counseling*. This includes education programs and counseling activities on property maintenance, personal money management, and relations with lenders and landlords.

(5) *Home Equity Conversion Mortgage (HECM) Counseling*. HECM counseling assists clients who are 62 years or older with the opportunity to convert the equity in their homes into income to pay living, medical or other expenses.

(6) *Home Improvement and Rehabilitation Counseling*. This counseling includes educating the client about: their loan and grant options, the loan and/or grant application processes, what housing codes and housing enforcement procedures apply for the intended activity, how to specify and bid construction work, how to enter into construction contracts, and how to manage construction contracts, including actions to address the non-performance of contractors.

(7) *Displacement and Relocation Counseling*. This counseling includes helping clients understand their rights when faced with displacement, explaining the responsibility of the entity causing displacement, assisting clients with understanding eviction proceedings, providing assistance with locating alternate housing, and referring clients to homeless services.

(8) *Marketing and Outreach Initiatives*. This includes providing general information about housing opportunities, conducting informational campaigns, and raising awareness about critical housing topics, such as predatory lending or fair housing issues.

Note: For each of the eight general activities you propose, you must be prepared to meet the needs of all individuals requesting services, including the disabled, regardless of the complexity of the services involved.

(B) *Intermediaries and SHFAs* can directly provide the housing counseling

services described above in Section A, or distribute and administer grant funds and provide technical assistance and other services to affiliates, who are eligible to undertake any or all of the eligible housing counseling activities outlined above.

Intermediaries and SHFAs have wide discretion to decide how to allocate their HUD Housing counseling and leveraged funding among their affiliates, with the understanding that a written record must be kept documenting and justifying funding decisions. This record must be made available to affiliates and to HUD. Intermediaries and SHFAs must also execute sub-grant agreements with their affiliates and branches that clearly delineate the mutual responsibilities for program management, including appropriate time frames for reporting results to HUD.

V. Application Submission Requirements

All applicants must meet the requirements listed in Section II of the General Section of the SuperNOFA. Because applications will be handled by various staff members, applications must be bound or secured in a binder, tabbed, and organized as instructed in the General Section of this SuperNOFA, and materials must be submitted in the order in which they appear in this NOFA. Use the checklist below to organize your application.

(A) *All applicants*. Unless indicated below, all applicants must submit the following:

(1) *The standard forms, certifications, and assurances* listed in Section II(H) of the General Section of the SuperNOFA (collectively, referred to as the "standard forms").

(2) *HUD-approval*. Each applicant is required to submit evidence of HUD-approval as a housing counseling agency, unless the applicant is a SHFA that satisfies the definition of a "housing finance agency" in 24 CFR 266.5.

(3) *Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report*, for fiscal year October 1, 2000 through September 30, 2001. If you did not participate in HUD's Housing Counseling Program during October 1, 2000 through September 30, 2001, this report should be completed to reflect your counseling workload during that period. A copy of this form is included in Appendix A of this SuperNOFA.

(4) *The Congressional District(s), including the names of the current Senators and Representatives*, in which your proposed activities are to occur.

(5) *Narrative statements* addressing the following five Rating Factors. Responses to the rating factors should provide HUD with detailed quantitative and qualitative information and relevant examples regarding the housing counseling work of your organization. For applicants applying under Category 4, Colonias, narrative statements must address how you will meet the needs of the Colonias you target.

Please be as specific and direct as possible. Responses to each factor should be limited to 10 double-spaced, single-sided pages. However, if you feel you need to include more information to make your case, you should feel free to do so.

Rating Factor 1: Capacity—Readiness and Effectiveness (30 Points)

This factor addresses the readiness and ability of an applicant to immediately begin the proposed work program, as well as the potential for an applicant to cost-effectively and successfully implement the proposed activities indicated under rating factor 3. In rating this factor, HUD will consider the degree to which the applicant, and, if applicable, affiliates:

(1) (10 points) Has sufficient personnel with the relevant knowledge and experience to implement the proposed activities in a timely and effective fashion. Experience is relevant if it corresponds directly to projects of a similar scale and purpose. Please submit:

—Names and titles of employees, including subcontractors and consultants, allocated to each proposed activity, as well as the corresponding staff hours for each task. Clerical staff should not be listed.

—Descriptions of each employee's, subcontractor's, or consultant's relevant professional background and experience related to the tasks they are to perform. Individual descriptions should be limited to one page.

(2) (20 points) Provide quality services in a cost-effective manner. Provide an overview, and submit any supporting data/evidence, of your organization's (and, if applicable, your affiliate organizations') prior fiscal year performance. At a minimum, responses should:

—Describe your prior fiscal year's counseling results, as they relate to your last year's goals. Include total number of clients served, the major types of counseling conducted, the outcomes for clients as a result of the counseling.

- Identify all of the sources and amounts of funds for counseling in the previous fiscal year.
- Identify specific uses of counseling funds in the previous year, such as staff costs, and the total costs for each use. Justify your expenses from the previous fiscal year to show that they were reasonable, allowable, and appropriate for the counseling activities identified above.

Characterize your performance in the past fiscal year at meeting the grant requirements for your housing counseling activities. Specifically indicate your performance at satisfying reporting requirements (such as Form HUD 9902)—indicate timeliness and completeness of your past reporting. Also indicate whether or not you fully expended grant awards for the past fiscal year. If not fully expended, provide an explanation as to why the funds were not fully expended and the steps you have taken to ensure that future funding will be expended in a timely manner.

HUD may also rely on information from performance reports, financial status information, monitoring reports, audit reports and other information available to HUD in making its determination under this factor.

Rating Factor 2: Need/Extent of the Problem (15 Points)

This factor addresses the extent to which there is a need for funding your proposed activities described under rating factor 3.

(1) (10 points) Applicants must provide recent economic and demographic data, and any other evidence, that demonstrates need relevant to the target area and your proposed activities. Applicants that fail to identify objective data will receive no points for this factor. Responses to this factor must reference data sources that demonstrate the level of need for your proposed program of activities. To the extent that the community you serve has documented need in its Consolidated Plan, Analysis of Impediments to Fair Housing Choice (AI), or other planning documents, reference these in your response. Economic and demographic data must include persons with disabilities located in the target area. The U.S. Census Bureau, for example, maintains disability data by state, county and metropolitan statistical area (MSA) at the following website address: <http://www.census.gov/hhes/www/disability.html>

(2) (5 points) Listed below are 6 FHA priorities that complement the Departmental priorities listed in Section VI of the General Section of the

SuperNOFA. Please indicate which, if any, of the FHA or Departmental priorities your counseling activities will address and provide the data, and source of data, that supports the need in your target community for addressing this priority. You will receive one point for each FHA or Departmental priority you adequately address in your application, up to a total of 5 points.

- Retaining homeownership.
- Serving areas with concentrations of high default and foreclosure rates.
- Predatory lending.
- HECM.
- Fair housing.
- Serving areas underserved by financial institutions.

Rating Factor 3: Scope of Housing Counseling Services/Soundness of Approach (40 Points)

This factor addresses the quality and effectiveness of your proposed housing counseling work plan, which describes all housing counseling activities to be performed. Work plans should include:

(1) (10 points) Your goals and objectives, geographic coverage / target areas, and the proposed housing counseling services and / or intermediary activities you propose to undertake. There must be a clear relationship between the proposed activities, community needs as outlined in Rating Factor 2, and the purposes of the proposed program for an applicant to receive points for this factor.

(2) (15 points) Benefits to be achieved, and indicators by which to measure performance, including the number of clients who will be served. If the number of clients you propose to serve exceeds by 25% or more the number of clients you served in your last reporting year (October 1, 2000 through September 30, 2001), you must demonstrate that you have the financial and human resources to adequately serve the additional clients.

(3) (15 points) Costs, time and resources associated with providing the proposed activities. Describe the level of effort you anticipate is required to meet the needs of your clients. Applicants should carefully document the variety and complexity of the services to be provided. Provide the hourly-labor rate and counseling time per client for proposed tasks to demonstrate the cost-effectiveness of the specific services provided.

Rating Factor 4: Leveraging Resources (10 Points)

HUD housing counseling funding is not intended to fully fund either an organization's housing counseling program, or that of its local affiliates. All

organizations that use housing counseling grant funds and their local affiliates are expected to seek other private and public sources of funding for housing counseling to supplement HUD funding. Any agency that does not have other resources available will receive no points for this factor.

Applicants will be evaluated based on their ability to provide evidence that they have obtained additional resources for their housing counseling activities, including: direct financial assistance; in-kind contributions, such as services, equipment, office space; labor; etc. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities committed to providing you assistance.

In order to obtain points under this factor, the applicant must demonstrate leveraging by providing letters from entities and/or individuals committing resources to the project that include:

- The identity of the entity or individual committing resources to the project.
- Dollar value of the resources to be committed.
- Types of resources to be committed.
- Time period for which the resources will be provided. Commitment letter must demonstrate that funds will be available during the grant period pertaining to this NOFA, October 1, 2002 " September 31, 2003.
- Responsibilities as they relate to your proposed program.
- The signature of an official of the entity legally able to make commitments on behalf of the entity.
- No conditions that would nullify the commitment. (It is, however, acceptable for the commitment to be conditional on HUD funding.)

Points for this factor will be awarded based on the satisfactory provision of evidence of leveraging and financial sustainability, as described above, *and* the ratio of requested HUD housing counseling funds to total budget, as follows:

Percentage	Points
1–10	10
11–15	9
16–20	8
21–25	7
26–30	6
31–35	5
36–40	4
41–45	3
46–50	2
51–99	1

Rating Factor 5: Coordination, Self-Sufficiency, and Sustainability (5 Points)

This factor addresses the extent to which the applicant is working towards addressing identified needs in a holistic and comprehensive manner through linkages with other organizations / activities in the community to help clients move to self-sufficiency. Sustainability refers to the potential for an applicant organization to become financially self-sustaining, and the potential of a specific project or activity to be sustained into the future absent of any HUD funding. In evaluating this factor, HUD will consider the extent to which applicants can demonstrate they have and will:

(1) Coordinate proposed activities with those of other groups or organizations, including, but not limited to, HUD funded housing counseling agencies, to coordinate the use of housing counseling and support services in your target area. Any written agreements or memoranda of understanding in place should be described and copies provided. The activities undertaken with other entities must be described in detail.

(2) Share information on solutions and outcomes with others. Any written agreements or memoranda of understanding in place should be described and copies provided.

(3) Actively participate in your community's Consolidated Planning process and the Analysis of Impediments to Fair Housing Choice (AI).

(4) Develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with other:

(a) HUD-funded projects/activities outside the scope of those covered by the target area's Consolidated Plan; and
(b) Federal, State or locally funded activities, including those proposed or on-going in the target area.

(B) *National and Regional Intermediaries and State Housing Finance Agencies* must provide the following:

(1) Identification of which affiliates will receive funding through this grant award. Applicants unable to identify which affiliates will receive sub-grants must explain why this is the case and what process will be used to select grantees. Pursuant to the applicable regulations at 24 CFR 84.82(d)(3)(iii) and 85.30(d)(4), grantees must receive HUD's written approval for sub-grants.

(2) Description of the activities of those affiliates, explicitly stating the types of services to be offered.

(3) Brief description of your relationship with your affiliates (i.e. membership organization, field or branch office, subsidiary organization, etc.).

(4) Brief description of the process that will be used to determine affiliate funding levels, distribute funds, and monitor affiliate performance, including compliance with the civil rights requirements outlined in the General Section of the SuperNOFA.

(C) *National and Regional Intermediaries* must provide a list of, and certify to, the states in which they maintain offices, including the national office and all affiliates or branch offices.

(D) *State Housing Finance Agencies* must submit evidence of their statutory authority to operate as a SHFA, and apply for, and use, any funds awarded.

VI. Application Selection Process/ Funding Policies

(A) *General*. Applications will be evaluated competitively, and ranked against all other applicants that applied in the same funding category. For Category 2, applications by national and regional intermediaries will be rated and ranked in HUD Headquarters. For Category 1, LHCAs, and Category 3, SHFAs, applications will be rated and ranked by the relevant HOC. The Santa Ana HOC will rate and rank all applications under Category 4, Colonias. The funding formula described below will be used to calculate award amounts.

(B) *Factors For Award Used to Rate and Rank Applications*. The Factors for Award, and maximum points for each factor, are outlined above in Section V (A)(5). These factors will be used to evaluate applications and the maximum number of points for each applicant is 100.

(C) *Applicant Debriefing*. Beginning not less than 30 days after the awards for assistance are announced in the **Federal Register**, and for not less than 120 days, HUD will, upon receiving written requests from the applicant, provide a debriefing to the requesting applicant. Materials provided during a briefing will be the applicant's final scores for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied. Applicants requesting to be debriefed must send a written request to the person listed as the *Contact for further information and technical assistance* in Section I above.

(D) *Funding Methodology*. Only applicants who receive at least 70 points out of the 100 will be considered

eligible for funding. All eligible applicants will then be funded in proportion to the score they receive.

This year's formula will work as follows for each category: every agency that receives a score of 70 points will receive a base award of \$5,000, then will receive additional funds for every point above the 70 point cutoff. The total number of agencies with scores above 70 will be multiplied by \$5,000 and that amount will be subtracted from the total available under the category, or in the cases of Categories 1 and 3, to the HOC. Then, the remaining balance will be divided by the total number of points each agency scores that are above the 70 point cutoff. The division will result in a dollar value for each point. The number of points that each agency scores above the 70 point base will be multiplied by that dollar value. The result of that multiplication will be added to the \$5,000 base for the total award amount. For example, an agency with a score of 85 would receive \$5,000 plus the dollar value for each point times 15 (15 being the number of points above the 70 point cutoff).

(E) *Grant Period*. Funds awarded shall be available for a period of twelve (12) calendar months. Applicants selected for award must receive prior HUD approval to incur costs prior to the date of the grant agreement. Grantees may incur pre-award costs ninety (90) calendar days prior to the effective date of the grant agreement. All pre-award costs are incurred at the applicant's risk and HUD has no obligation to reimburse such costs if the award is inadequate to cover such costs or the award offer is withdrawn because of the applicant's failure to satisfy the requirements of this NOFA.

(F) *Award Instrument*. HUD expects to use a grant agreement, but it reserves the right to use the award instrument it determines to be most appropriate. All Housing Counseling Program awards shall be made on a cost reimbursement basis in accordance with the requirements in OMB Circular A-87, Cost Principles for State and Local Governments and Indian Tribal Governments; or OMB Circular A-122, Cost Principles for Non-Profit Organizations, as applicable to your organization; and the administrative requirements established in OMB Circular A-102, which was implemented by 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and Indian Tribal Governments); OMB Circular A-110, which was implemented by 24 CFR part 84 (Grants and Agreements with Institutions of

Higher Education, Hospitals and Other Non-Profit Organizations); and OMB Circular A-133 which was implemented by 24 CFR parts 84 and 85. If you receive an award you are also required to ensure that any sub-recipients also comply with the above requirements. OMB circulars can be found at www.whitehouse.omb.gov.

(G) *Financial Management Systems*. Applicants selected for funding must provide documentation demonstrating that the applicant's financial management systems satisfy the requirements in the applicable regulations at 24 CFR 84.21(b) and 85.20. Consistent with the requirements of the Single Audit Act Amendments of 1996 (31 U.S.C. §§ 7501-07), when the applicant expended \$300,000 or more in Federal awards in its most recent fiscal year, such documentation must include a certification from, or most recent audit by, the applicant's Independent Public Accountant that the applicant maintains internal controls over Federal awards; complies with applicable laws, regulations, and contract or grant provisions; and prepares appropriate financial statements. The applicant will have at least thirty (30) calendar days to respond to this requirement. If an applicant does not respond within the prescribed time or responds with insufficient documentation, then HUD may determine that the applicant has not met this requirement and may withdraw the grant offer.

(H) *Indirect Cost Rate*. You must also submit documentation establishing your organization's indirect cost rate. Such documentation may consist of a certification from, most recent audit, or indirect cost rate agreement by, the cognizant Federal agency or an Independent Public Accountant. If your organization does not have an established indirect cost rate, you will be required to develop and submit an indirect cost proposal to HUD or the cognizant Federal Agency as applicable, for determination of an indirect cost rate that will govern your award. Applicants that do not have a previously established indirect cost rate with a Federal agency shall submit an initial indirect cost rate proposal immediately after the applicant is advised that it will be offered a grant and, in no event, later than three months after the effective date of the grant. OMB Circular A-122 established the requirements to determine allowable direct and indirect costs and the preparation of indirect cost proposals, and can be found at www.whitehouse.omb.gov.

VII. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications. Applications will be declared ineligible for any of the following reasons:

- If you do not meet the Civil Rights Threshold Requirements set forth in Section II(B) of the General Section of this SuperNOFA.
- If you are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions from any Federal department or agency.

VIII. Program Requirements

Agencies selected as grantees or sub-grantees must comply with the following requirements:

(A) *General Requirements*. The requirements listed in Section II of the General Section of the SuperNOFA apply to this program.

(B) *Specific Requirements*. Programmatic requirements are outlined in detail in HUD Handbook 7610.1, REV-4, CHG-1, dated October 27, 1997, which can be viewed on HUD's website at http://www.hud.gov/offices/hsg/sfh/hcc_home.cfm. Additionally, the following also apply:

(1) *List of Agencies*. Pursuant to section 106 (C)(5) of the Housing and Urban Development Act of 1968, HUD maintains a list of all HUD-approved and HUD-funded counseling agencies, including contact information, which interested persons can access. All grantees under Categories 1 and 4, and sub-grantees under Categories 2 and 3, will be placed on this list and must accept subsequent referrals, or when they do not provide the services sought, refer the person to another agency in the area that does provide the services.

(2) *Accessibility*—All grant recipients and sub-recipients must make counseling offices and services reasonably accessible to persons with a wide range of disabilities and help persons locate suitable housing in locations throughout the applicant's community, target area, or metropolitan area, as defined by the applicant.

(C) *Religious Discrimination*. Grant recipients and sub-recipients are prohibited from:

(1) Discriminating on behalf of or against any segment of the population in the provision of services or in outreach, including those of other religious affiliations.

(2) Requiring religious instruction or religious counseling, conducting mandatory religious services or worship, engaging in religious proselytizing, and exerting religious influence in the provision of assistance under your housing counseling program.

(D) Entities that are subject to 24 CFR parts 84 and 85 (most nonprofit organizations and State, local and tribal governments or government agencies or instrumentalities who receive Federal awards of financial assistance) are required to develop and maintain a written code of conduct (See Section 84.42 and 85.36(b)(3)). Consistent with regulations governing housing counseling programs, your code of conduct must prohibit real and apparent conflicts of interest that may arise among employees, officers or agents; prohibit the solicitation and acceptance of gifts or gratuities by your officers, employees and agents for their personal benefit in excess of minimal value, and outline administrative and disciplinary actions available to remedy violations of such standards. If awarded assistance under this SuperNOFA, you will be required, prior to entering into a grant agreement with HUD, to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees and agents of your organization are aware of your code of conduct.

(E) *Performance Measurement*. Grant recipients are required to complete and submit a form HUD-9902, Fiscal Year Activity Report (APPENDIX A). The information compiled from this report provides HUD with its primary means of measuring your program performance.

(F) *Environmental Requirements*. In accordance with 24 CFR 50.19(b)(9) and (12) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act and are not subject to environmental review under the related laws and authorities.

IX. Authority

HUD's Housing Counseling Program is authorized by Section 106 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701x), and is generally governed by HUD Handbook 7610.1, REV-4, CHG-1, dated October 27, 1997.

Appendix A—Form HUD-9902, Fiscal Year Activity Report

Appendix B

Homeownership center	States
<i>Philadelphia Homeownership Center</i> , Mr. John Niebieszczanski Patrick V. McNamara Building SF Program Support Branch 4, 477 Michigan Ave. Rm. 1600, Detroit, MI 48226, For technical questions Contact: Robert Wright (215) 656-0527 x3406.	Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, Michigan, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia.
<i>Atlanta Homeownership Center</i> , Ms. Gayle Knowlson, 40 Marietta Street, 8th Floor, Atlanta, GA 30303-2806, Contact: Fellece Sawyer-Coleman, (404) 331-5001, x2675.	Alabama, Puerto Rico, Florida, Georgia, Illinois, Indiana, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee
<i>Denver Homeownership Center</i> , Ms. Irma Devich, Wells Fargo Building, 633 17th Street, Denver, CO 80202-3607, Contact: Irma Devich, (303) 672-5216 x1980.	Arkansas, Colorado, Iowa, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wisconsin, Wyoming
<i>Santa Ana Homeownership Center</i> , Mr. Jerrold Mayer, 1600 N. Broadway, Suite 100, Santa Ana, CA 92706-3927, Contact: Rhonda J. Rivera, Chief 1-888-827-5605, (714) 796-1200 x3210.	Alaska, Arizona, California, Hawaii, Oregon, Idaho, Nevada, Washington

BILLING CODE 4210-32-P

Housing Counseling Agency Fiscal Year Activity Report

U.S. Department of Housing
and Urban Development
Office of Housing
Federal Housing Commissioner

OMB Approval No. 2502-0261
(exp. 6/30/2002)

Read the Instructions and Public Reporting
Statement on the back of this form.

Check here if this is a new address ☐

1. Counseling agency name and address		2. Reporting Year (yyyy) from Oct 1, _____ to Sep 30, _____	
3. Number of Clients Counseled this Report Period	1. Homeowners (mortgage paid off)	All Counseling Activities	HUD Grant Activities
	2. Mortgagors (own property covered by mortgage)		
	3. Potential Mortgagors (want to purchase housing)		
	4. Renters (occupy rental property)		
	5. Potential Renters (want to rent housing)		
	6. Homeless		
	7. Disabled Persons		
	8. Other		
	9. Total		
	Race/ Ethnicity	a. American Indian /Alaskan Native	
b. Asian /Pacific Islander			
c. Black Non-Hispanic			
d. Hispanic			
e. White Non-Hispanic			
4. Results of Counseling		5. HUD Grant Activity - Summary Data	
Homeowners	10. Obtained a Home Equity Conversion Mort.(HECM)		
	11. Other		
	12. Total		
Mortgagors	13. Obtained a HECM		
	14. Brought mortgage current		
	15. Forbearance agreement		
	16. Mortgage assigned to HUD		
	17. Executed a deed-in-lieu		
	18. Sold their property		
	19. Mortgage foreclosed		
	20. Rented alternative housing		
	21. Other		
	22. Total		
		HUD Grant No. From Block 3, Form HUD-1044	
		HUD Grant Amount From Block 14, Form HUD-1044	
		Number of Clients	
		Amount Invoiced	
		Total	
6. Name of Person Authorized to Sign this Report			
Title			
Signature			Date (mm/dd/yyyy)

Previous editions are obsolete.

ref. Handbook 7610.1

form HUD-9902 (5/98)

Public reporting burden for this collection of information is estimated to average 1.17 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number.

This information is collected in connection with HUD's Housing Counseling Program, and will be used by HUD to determine that the grant applicant meets the requirements of the Notice of Funding Availability (NOFA) and to assign points for awarding grant funds on a competitive and equitable basis. The information is required to obtain funding under Section 106 of the Housing and Community Development Act of 1974. The information is considered sensitive and is protected by the Privacy Act which requires the records to be maintained with appropriate administrative, technical and physical safeguards to ensure their security and confidentiality.

Instructions for Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report

This HUD Fiscal Year Activity Report enables a HUD-approved housing counseling agency to report all of its housing counseling activity for clients with housing needs and problems. Paragraph 1-7A of the HUD Housing Counseling Program Handbook 7610.1 provides the definition of "client," "housing need," and "housing problem."

1. **Counseling Agency Name & Address** - Enter the official name of your agency in the format you submitted to HUD. If the address you enter is a new address, check the box indicating this change.
2. **Enter Report HUD Fiscal Year** - This is an annual report covering the HUD Fiscal Year. Indicate the HUD Fiscal Year covered by the report. Even if your agency was approved by HUD for less than the full year report period, include clients counseling during the full report year.

General

Clients - Please remember that you report **clients** as defined in paragraph 1-7A of HUD's Housing Counseling Program Handbook 7610.1. You are **not** reporting the number of individual persons you counseled.

Examples:

- a. A husband and wife or a brother and sister or three friends who are mortgagors under the same note count as **one client**.
- b. Three renting families who experience the same problem with the same landlord and come to your agency together for assistance count as **one client**.

Columnar Entries - The report contains two data columns.

- a. **All Counseling Activities** - Enter data covering all housing counseling activities, including those performed under one or more HUD housing counseling grants.
- b. **HUD Grant Activities** - Enter data covering only counseling provided under one or more HUD counseling grants during the report period. Include this data in the "All Counseling Activities" column.
3. **Clients Counseled This Report Period** - Enter the number of clients to whom you provided counseling during the report period. This might include clients who entered your workload the previous report period but you carried over into and counseled during the current report period. Enter the client count in the box that best describes the status of the clients when they first entered your workload.

Disabled Person - A person reported on this line is defined in the Fair Housing Act, Sec. 802 (h) as follows:

Handicap means, with respect to a person -- (1) a physical or mental impairment which substantially limits one or more of such person's major life activities, (2) a record of having an impairment, or (3) being regarded as having such an impairment, but such term does not include current, illegal use of or addiction to a controlled substance (as defined in Section 102 of the Controlled Substance Act (21 U.S.C. 802)).

Homeless - A client reported on this line must meet the definition for "homeless" or "homeless individual" set forth in Section 103., General Definition of Homeless Individual, of the Stewart B. McKinney Homeless Assistance Act (Public Law 100-77).

Racial/Ethnic Categories - Enter number of clients to whom you provided counseling during this period.

- a. **White (Non Hispanic)** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- b. **Black (Non Hispanic)** - A person having origins in any of the black racial groups of Africa.
- c. **Hispanic** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race.
- d. **American Indian or Alaskan Native** - A person having origins in any of the original peoples of North America, and who maintains, cultural identification through tribal affiliation or community recognition.
- e. **Asian or Pacific Islander** - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

Other - Throughout the form, "other" provides a general category into which you place clients who do not fall under any specific category on the form.

4. **Results of Counseling** - You might achieve more than one result for the same client during the report year.

Example: A mortgagor in default enters into a **forbearance agreement** and later **sells the property**. Report both results on the appropriate lines.

5. **HUD Grant Activity - Summary Data** - Enter summary data from the "HUD Grant Activities" column for each grant under which you provided counseling during the report period. In the "Total" row, enter totals for the "No. of Clients" and the "Amount Invoiced" columns.
6. An authorized staff person must sign and date the report.

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**LEAD-BASED PAINT HAZARD
CONTROL GRANT PROGRAM**

Billing Code 4210-32-C

FUNDING AVAILABILITY FOR THE LEAD-BASED PAINT HAZARD CONTROL GRANT PROGRAM

PROGRAM OVERVIEW

Purpose of the Program. The purpose of the Lead-Based Paint Hazard Control Grant Program is to assist States, Indian Tribes and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately owned housing for rental or owner-occupants in partnership with faith-based and other community-based organizations.

Available Funds. Approximately \$80 million in Fiscal Year 2002.

Eligible Applicants. States, Indian Tribes or local governments. If you are a State or Tribal applicant, you must have a Lead-Based Paint Contractor Certification and Accreditation Program authorized by EPA.

Application Deadline. June 14, 2002.

Match. A minimum of 10% match in local funds.

ADDITIONAL INFORMATION

I. Application Due Date, Application Kits, Further Information, and Technical Assistance

Application Due Date. Submit your completed application (an original and four copies) to HUD postmarked on or before 12:00 midnight, Eastern Time, on June 14, 2002, at the address shown below.

See the General Section of the SuperNOFA for specific procedures concerning the form of application submission (e.g., mailed applications, express mail or overnight delivery).

Application Submission Procedures. New Security Procedures. In HUD has implemented new security procedures that impact on application submission procedures. Please read the following instructions carefully and completely. HUD will not accept hand delivered applications. Applications may be mailed using the United States Postal Service (USPS) or may be shipped via the following delivery services: United Parcel Service (UPS), FedEx, DHL, or Falcon Carrier. *No other delivery services are permitted into HUD Headquarters without escort. You must, therefore, use one of the four carriers listed above.*

Mailed Applications. Your application will be considered timely filed if your application is postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office on or within fifteen (15) days of the application due date. *All applicants must obtain and save a Certificate of Mailing showing the date when you submitted your*

application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was timely filed.

Applications Sent by Overnight/Express Mail Delivery. If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date. Due to new security measures, you must use one of four carrier services that do business with HUD Headquarters regularly. These services are UPS, DHL, FedEx and Falcon Carrier. Delivery by these services must be made during HUD's Headquarters business hours, between 8:30 AM and 5:30 PM Eastern time, Monday to Friday. If these companies do not service your area, you should submit your application via the United States Postal Service.

Address for Submitting Applications. *For Mailed Applications.* The address for mailed applications is: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, SW, Room P3206, Washington, DC 20410.

For Application Kits. You may obtain an application kit from the SuperNOFA Information Center at 1-800-HUD-8929. Persons with speech or hearing impairments may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the Lead-Based Paint Hazard Control Grant Program. Please be sure to provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. You may contact Ellis G. Goldman, Director, Program Management Division, Office of Healthy Homes and Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 112 (this is not a toll-free number). If you are a hearing-or speech-impaired person, you may reach the above telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov>.

II. Amount Allocated

(A) Available Funding. Approximately \$80 million in Fiscal Year 2002 funds will be available for the Lead-Based Paint Hazard Control Grant Program.

(B) Allocation of Funds/Grant Awards. Both current or prior (previously funded) grantees or previously unfunded applicants are eligible to apply for grants of \$1 million to \$2.5 million. Approximately 32 to 40 grants will be awarded. Approximately 80% of the funds shall be available to current and prior Lead-Based Paint Hazard Control grantees. Applications from current and prior (previously funded) grantees will be evaluated and scored as a separate group and will not be in direct competition with applications from previously unfunded applicants. A minimum score of 70 is required for fundable applications. Within the category of current and prior grantees, a new subcategory has been created this year to allow for the "renewal" of current grants that meet specific criteria. Current grantees (with active grants at the application deadline date) whose period of performance commenced on or after January 1, 2000 and that, in their most recent grant, have completed and cleared at least 65 % of the negotiated number of units and have expended, as evidenced by the drawdown from the HUD Line of Credit Control System (LOCCS), at least 45 % of their original HUD Federal grant award by March 31, 2002, are eligible to request up to \$2 million to continue grant program activities for an additional 24 months after their current period of performance ends. By achieving the above referenced level of performance significantly ahead of the expected schedule, these grantees have demonstrated a clear basis for eligibility in receiving additional funds without the need to submit a full application in response to the SuperNOFA. The creation of this subcategory reflects the intention of this grant program to move towards more competitive performance-based awards. Applicants eligible to submit a "Request for Renewal" will be required to submit a Total Budget (Federal Share and Matching), work plan strategy and supporting materials prescribed in the application. In addition, grantees awarded grant funds under this subcategory will be required to meet the terms and conditions of their current grant agreement and any additional applicable requirements under this NOFA. Additional details and guidance will be provided in the application kit.

III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* The Lead-Based Paint Hazard Control Grant Program assists States, Indian Tribes and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately owned housing units for rental and owner-occupants. Appendix B (Eligibility of HUD Assisted Housing) and the application kit for this program will list the HUD-associated housing programs that meet the definition of eligible housing under this program.

(1) Because lead-based paint is a national problem, these funds will be awarded to:

(a) Maximize the combination of children protected from lead poisoning and housing units where lead-hazards are controlled;

(b) Target lead hazard control efforts at housing in which children are at greatest risk of lead poisoning;

(c) Stimulate cost-effective approaches that can be replicated;

(d) Emphasize lower cost methods of hazard control;

(e) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and

(f) Affirmatively further fair housing and environmental justice.

(2) The objectives of this program include:

(a) Implementation of a national strategy, as defined in Title X of the Housing and Community Development Act of 1992 (42 U.S.C. 4851 *et. seq.*) (Title X), to build the community's capacity necessary to eliminate lead-based paint hazards in housing, as widely and quickly as possible by establishing a workable framework for lead-based paint hazard identification and control;

(b) Mobilization of public and private resources, involving cooperation among all levels of government, the private sector, and faith-based and other community-based organizations to develop cost-effective methods for identifying and controlling lead-based paint hazards;

(c) Development of comprehensive community approaches which result in integration of all community resources (governmental, faith-based and other community-based, and private businesses) to address lead hazards in housing;

(d) Integration of lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation,

and other programs that will continue after the grant period ends;

(e) Establishment of a public registry (listing) of lead-safe housing or inclusion of the lead-safe status of properties in another publicly accessible address-based property information system; and

(f) To the greatest extent feasible, promotion of job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ low-income and minority residents as defined in 24 CFR 135.5 (See 59 FR 33881, June 30, 1994).

(B) *Eligible Applicants.* (1) To be eligible to apply for funding under this program, the applicant must be a State, Indian Tribe, or unit of local government. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a single primary government or agency as "the applicant." You may submit only one application. In the event you submit multiple applications, this will be considered a curable (minor) defect and the application review process delayed until you notify HUD in writing which application should be reviewed. Your other applications will be returned unevaluated. (See the General Section of the SuperNOFA, Section V, Corrections to Deficient Applications)

(2) *Threshold Requirements.* As an applicant, you must meet all of the threshold requirements of Section II(B) of the General Section of the SuperNOFA as well as any specific threshold requirements for applicants under the Lead Hazard Control Grant Program. Applications will not be rated or ranked if they do not meet the threshold requirements of Section II (B) of the general Section of the SuperNOFA.

(3) *Consolidated Plans.* (This requirement does not apply to Indian Tribes)

(a) If your jurisdiction has a current HUD approved Consolidated Plan, you must submit, as an appendix, a copy of the lead-based paint element included in the approved Consolidated Plan.

(b) If your jurisdiction does not have a currently approved Consolidated Plan, but it is otherwise eligible for this grant program, you must include your jurisdiction's abbreviated Consolidated Plan, which includes a lead-based paint hazard control strategy developed in accordance with 24 CFR 91.235.

(4) *Contracts or other formal arrangements with faith-based and other community-based organizations.* If selected for funding, local and State applicants must enter into contractual

relationships or other formal arrangements with faith-based and other community-based organizations. Such relationships must be established prior to actual execution of the grant agreement. This requirement does not apply to Indian Tribes.

(5) *EPA Authorization.* If you are a State government or an Indian Tribal government, you must have an EPA authorized Lead-Based Paint Training and Certification Program in effect on the application deadline date to be eligible to apply for Lead Hazard Control Grant funds. The approval date in the **Federal Register** notice published by the EPA will be used in determining the Training and Certification status of the applicant State or Indian Tribal government.

(6) Current or prior grantees that have not completed a minimum of 35 percent of the units in their most recent grant agreement as of March 31, 2002, are not eligible to apply under this NOFA.

(7) The eligibility factors discussed in paragraphs (1) through (5) above are threshold requirements. If you do not satisfy the appropriate eligibility requirements stated in these paragraphs, HUD will not review your application.

(C) *Eligible Activities.* HUD is interested in promoting lead hazard control approaches that result in the reduction of this health threat for the maximum number of low-income families with children under six, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and replicable elsewhere. Activities must be conducted in compliance with HUD's Lead-Safe Housing Rule, 24 CFR Part 35, and with any applicable requirements of a Training and Certification Program that has been authorized by the Environmental Protection Agency under the requirements of 40 CFR 745.320. Copies of HUD's Lead-Safe Housing Rule, and the companion publication "Interpretive Guidance: The HUD Regulation on Controlling Lead-Based Paint Hazards in Housing Receiving Federal Assistance and Federally Owned Housing Being Sold," are available from the National Lead Information Clearinghouse at 1-800-424-LEAD and on the Internet at www.hud.gov.

(1) *Direct Project Elements* that you may undertake directly or through sub-recipients, include:

(a) Performing dust testing, hazard screens, inspections, and risk assessments of eligible housing constructed before 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil.

(b) Conducting the required pre-hazard control blood lead testing of children under the age of six years (72 months) residing in units undergoing inspection, risk assessment, or hazard control, unless reimbursable from Medicaid or another source.

(c) Conducting lead hazard control, which may include: interim control of lead-based paint hazards in housing (which may include specialized cleaning techniques to address lead dust); and abatement of lead-based paint hazards, including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods. Complete abatement of all lead-based paint or lead-contaminated soil is not acceptable as a cost-effective strategy unless justification is provided and subsequently approved by HUD. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, i.e., drip line or foundation of the structure being treated, and children's play areas.

(d) Carrying out temporary relocation of families and individuals during the period in which hazard control is conducted and until the time the affected unit receives clearance for reoccupancy.

(e) Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors, and contractors.

(f) Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. Hazard Control grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD strongly encourages integration of this grant program with housing rehabilitation, weatherization, and other energy conservation activities.

(g) Conducting clearance dust-wipe testing and laboratory analysis.

(h) Engineering and architectural activities that are required for, and in direct support of, lead hazard control.

(i) Providing resources to build capacity for lead-safe housing and lead hazard control, including free delivery of HUD-approved lead-safe work practices training courses for rehab contractors, rehab workers, homeowners, renters, painters, remodelers, maintenance staff, and others conducting renovation, rehabilitation, maintenance or other work in private housing; free delivery of lead sampling technician training, lead-based paint worker or contractor

certification training; and subsidies for licensing or certification fees to low-income persons seeking credentials as lead-based paint workers or contractors or lead sampling technicians.

(j) Providing cleaning supplies for lead-hazard control, and instructions or training in their use, to faith-based and other community-based organizations, homeowners, and renters in low-income private housing.

(k) Conducting planning, coordination, and training activities to comply with HUD's Lead-Safe Housing Rule (24 CFR part 35) that became effective on September 15, 2000. These activities should support the expansion of a workforce properly trained in lead-safe work practices which is available to conduct interim controls on HUD assisted housing covered by these regulations. The regulation and interpretive guidance about the rule are available from the National Lead Information Center at 1-800-424-LEAD or www.hud.gov.

(l) Conducting general or targeted community awareness, education or outreach programs on lead hazard control and lead poisoning prevention including educating owners of rental properties on the Fair Housing Act and offering educational materials in languages other than English and providing training on lead-safe maintenance and renovation practices and management. Upon request, this also would include making all materials available in alternative formats to persons with disabilities (e.g., Braille, audio, large type).

(m) Procuring liability insurance for lead-hazard control activities.

(n) Supporting data collection, analysis, and evaluation of grant program activities. This includes compiling and delivering such information and data as may be required by HUD. This activity is separate from administrative costs.

(o) Conducting applied research activities directed at demonstration of cost effective methods for lead hazard control.

(p) Purchasing or leasing equipment having a per unit cost under \$5,000.

(q) Purchasing or leasing no more than two (2) X-ray fluorescence analyzers for use by the Lead-Based Paint Hazard Control Grant Program, if not already available.

(r) Preparing a final report at the conclusion of grant activities.

(2) Support Elements.

(a) Administrative costs. There is a 10% maximum for administrative costs. Specific information on administrative costs is included in this Lead-Based

Paint Hazard Control Grant Program section of this SuperNOFA.

(b) Program planning and management costs of sub-grantees and other sub-recipients. (D) *Ineligible Activities*. You may not use grant funds for any of the following:

(1) Purchase of real property.

(2) Purchase or lease of equipment having a per unit cost in excess of \$5,000, except for the purchase of X-ray fluorescence analyzers.

(3) Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-Federal funds used to cover these costs may be counted as part of the required matching contribution.

(4) Lead hazard control activities in publicly owned housing, or project-based Section 8 housing.

IV. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, the applicant must comply with the following requirements: (A) Conformance of proposed plans to Federal and State policies for Lead-Based Paint Hazard Control. All lead hazard control activities must be conducted in compliance with the applicable requirements of HUD's Lead-Safe Housing Rule, 24 CFR part 35, and as clarified in HUD's Interpretive Guidance about the rule. Activities must also comply with any additional requirements in effect under a State or Tribal Lead-Based Paint Training and Certification Program that has been authorized by the Environmental Protection Agency pursuant to 40 CFR 745.320.

Budgeting

(1) *Matching Contribution*. You must provide a matching contribution of at least 10% of the requested grant sum. This may be in the form of cash, including private sector funding, or in-kind (non-cash) contributions or a combination of these sources. With the sole exception of Community Development Block Grant (CDBG) funds, Federal funds may not be used to satisfy the statutorily required ten (10) percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement. If you do not include the minimum 10% match in your application, the application will be rated lower during the evaluation process. If selected for an award, you will be required to provide evidence that the matching contribution requirement will be met before being given the grant.

(2) *Direct Lead Hazard Identification and Control Activities.* The budget proposed must show a minimum of 60 percent of the total Federal amount requested identified for direct lead hazard control activities. Direct lead hazard control activities consist of dust testing, hazard screens, lead inspections, risk assessments, lead hazard control services, and clearance examinations. Direct hazard control activities do not include relocation, blood testing of residents or workers, housing rehabilitation, training, community education, applied research, purchase of supplies or equipment, or administrative costs.

(3) *Lead-Safe Work Practice Training Activities.* For most applicants, at least two (2) percent of the total Federal amount in the budget proposal will be necessary to promote the expansion of a workforce properly trained in lead-safe work practices and which is available to conduct interim controls and follow lead-safe work practices while performing work on HUD assisted housing units per the provisions of the HUD Lead Safe Housing Regulation 24 CFR Part 35(1330(a)(4)(iii)(v), and to safely repair, rehabilitate, and maintain other privately-owned residential property. Any applicant that proposes to use less than 2% of the total Federal amount for this purpose shall present evidence that there is currently in place a workforce that is sufficient in size and is properly trained to carry out the work under the Lead Hazard Control grant and the HUD Lead-Safe Housing Regulation.

(4) *Applied Research Activities.* You may identify a maximum of five (5%) percent of the total grant request for applied research activities.

(5) *Administrative Costs.* There is a 10% maximum for administrative costs as specified in Section 1011 (j) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102-550). Additional information about allowable administrative costs is provided in Appendix B of this NOFA and in the application kit.

(B) *Period of Performance.* The period of performance is 36 months for first time grant recipients. The period of performance for current and prior grantees is 30 months, except grantees receiving an award under a "Request for Renewal," for which there is a 24-month period of performance.

(C) *Certified and Trained Performers.* Funded activities must be conducted by persons qualified for the activities according to 24 CFR part 35 (possessing certification as abatement contractors,

risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices).

(D) *Coastal Barrier Resources Act.* Pursuant to the Coastal Barrier Resources Act (16 U.S.C. 3501), you may not use grant funds for properties located in the Coastal Barrier Resources System.

(E) *Flood Disaster Protection Act.* Under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), you may not use grant funds for lead-based paint hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

(1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

(F) *National Historic Preservation Act.* The National Historic Preservation Act of 1966 (16 U.S.C. 470) and the regulations at 36 CFR part 800 apply to the lead-based paint hazard control activities that are undertaken pursuant to this program. HUD and the Advisory Council for Historic Preservation have developed an optional Model Agreement for use by grantees and State Historic Preservation Officers in carrying out activities under this program. This may be obtained from the SuperNOFA Clearinghouse.

(G) *Waste Disposal.* You must handle waste disposal according to the requirements of the appropriate local, State and Federal regulatory agencies. You must handle disposal of wastes from hazard control activities that contain lead-based paint but are not classified as hazardous in accordance with state or local law or the HUD Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines may be purchased from HUD User (1-800-245-2691) or downloaded from the HUD website (www.hud.gov).

(H) *Worker Protection Procedures.* You must observe the procedures for

worker protection established in the HUD Guidelines, as well as the requirements of the Occupational Health and Safety Administration (OSHA) (29 CFR 1926.62—Lead Exposure in Construction), or the State or local occupational safety and health regulations, whichever are most protective. If other applicable requirements contain more stringent requirements than the HUD Guidelines, the more rigorous standards shall be followed.

(I) *Prohibited Practices.* You must not engage in practices that are not allowed because of health and safety risks. Methods that generate high levels of lead dust shall be undertaken only with requisite worker protection, containment of dust and debris, suitable cleanup, and clearance. Prohibited practices include:

(1) Open flame burning or torching;
(2) Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
(3) Uncontained hydro blasting or high-pressure wash;

(4) Abrasive blasting or sandblasting without HEPA exhaust control;

(5) Heat guns operating above 1100 degrees Fahrenheit;

(6) Chemical paint strippers containing methylene chloride or other volatile hazardous chemicals in a poorly ventilated space; and

(7) Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two (2) square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

(J) *Proposed Exceptions to HUD Requirements.* Proposed methods that differ from HUD's Lead Safe Housing Rule will be considered on their merits through a separate HUD review and approval process after the grant award is made and a specific justification has been presented. HUD may consult with experts from both the public and private sectors. HUD will not approve methods that, in HUD's opinion, involve a lowering of standards that have the potential to adversely affect the health of residents, contractors or workers, or the environment.

(K) *Written Policies and Procedures.* You must have clearly established, written policies and procedures for eligibility, program marketing, unit selection, expediting work on homes occupied by children with elevated blood lead levels, and all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, relocation and

clearance testing. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

(L) *Continued Availability of Lead Safe Housing to Low-Income Families.* Units in which lead hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income residents as required by Title X. You must maintain a registry (listing) of units in which lead hazards have been controlled and ensure that these units are marketed to agencies and families as suitable housing for families with children under six. The grantee must notify the owner of the information that is collected so that the owner may make disclosure to tenants in accordance with the requirements under 24 CFR part 35, Subpart A.

(M) *Testing.* In developing your application budget, include costs for inspection, risk assessment, and clearance testing for each dwelling that will receive lead hazard control, as follows:

(1) *Testing.* (a) *General.* All testing and sampling shall conform to the current HUD Guidelines and Federal, state or tribal regulations developed as part of the appropriate contractor certification program. It is particularly important to provide this full cycle of testing for lead hazard control, including interim controls. Testing must be conducted according to the HUD Guidelines and the EPA lead hazard standards rule at 40 CFR part 745. All test results must be provided to the owner in a timely fashion, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers under 24 CFR part 35, Subpart A.

(b) *Pre-Hazard Control.* A combined inspection and risk assessment is recommended. You should ensure that the results of the pre-hazard control investigation are sufficient to support hazard control decisions. When appropriate, you may elect to perform a lead hazard screen in lieu of an inspection or risk assessment.

(c) *Non-Identification of Lead Hazards from Paint, Dust, Soil.* In the event you propose to conduct lead hazard control work without identification of lead hazards from paint, dust, and soil, you must fully justify the technical and other rationale for such a proposal. HUD must approve such proposals. Approval is subject to HUD environmental review under 24 CFR part 50.

(d) *Clearance Testing.* Clearance dust testing must be conducted according to the EPA lead hazards standards rule at

40 CFR part 745 for abatement projects and the Lead-Safe Housing rule (24 CFR part 35) for lead hazard control activities or other abatement. These are available at www.epa.gov and www.hud.gov respectively.

(2) *Blood lead testing.* Before lead hazard control work begins, each occupant who is under six years old must be tested for lead poisoning within the six months preceding the housing intervention. Any child with an elevated blood lead level must be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease Control and Prevention publications *Preventing Lead Poisoning in Young Children* (1991), and *Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials* (1997).

(N) *Cooperation With Related Research and Evaluation.* You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or other government agency and associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in your original proposal. Participant data shall be subject to Privacy Act protection.

(O) *Data collection.* You will be required to collect and maintain the data necessary to document the various lead hazard control methods used and the cost of these methods.

(P) *Section 3 Employment Opportunities.* Please see Section II (E) of the General Section of the SuperNOFA. The requirements of Section 3 of the Housing and Urban Development Act of 1968 are applicable to the Lead-Based Paint Hazard Control Program.

(Q) *Replacing Existing Resources.* Funds received under this grant program shall not be used to replace existing community resources dedicated to any ongoing project.

(R) *Certifications and Assurances.* You must include the certifications and assurances listed in the General Section of the SuperNOFA with your application.

(S) *Davis-Bacon Act.* The Davis-Bacon Act does not apply to this program. However, if you use grant funds in conjunction with other Federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the

extent required under the other Federal programs.

(T) *Conducting Business in Accordance With HUD Core Values and Ethical Standards.* If awarded assistance under this SuperNOFA, you will be required, prior to entering into a grant agreement with HUD, to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees and agents of your organization are aware of your code of conduct (See Section II(B)(2) of the General Section of the SuperNOFA for information about conducting business in accordance with HUD's core values and ethical standards.)

(U) *Ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Women-Owned Businesses.* The Department of Housing and Urban Development (HUD) is committed to ensuring that small businesses, small disadvantaged businesses and women-owned businesses participate fully in HUD's direct contracting and in contracting opportunities generated by HUD grant funds. Too often, these businesses still experience difficulty accessing information and successfully bidding on Federal contracts. HUD regulations at 24 CFR 85.36(e) require recipients of assistance (grantees and sub grantees) to take all necessary affirmative steps in contracting for purchase of goods or services to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible. Affirmative steps shall include:

(i) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;

(ii) Assuring that small and minority business, and women's business enterprises are solicited whenever they are potential sources;

(iii) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;

(iv) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;

(v) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and

(vi) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (e)(2)(i) through (v) above.

V. Application Selection Process

(A) *Rating and Ranking.* Only those applications that meet the threshold review requirements will be rated and ranked. HUD intends to fund the highest ranked applications receiving a minimum score of 70 within the limits of funding, but reserves the right to advance other eligible applicants in funding rank. A decision to advance an applicant will be based on work plan strategies that foster innovative local approaches or lead hazard control methods.

(B) *Award Offers.* In the selection process, once available funds have been allocated to meet the requested or negotiated amounts of the top eligible applicants, HUD reserves the right to offer any residual amount as partial funding to the next eligible applicant, provided HUD is satisfied that the residual amount is sufficient to support a viable, though reduced effort, by such applicant(s). If you are an applicant offered a reduced grant amount you will have a maximum of seven (7) calendar days to accept such a reduced award. If you fail to respond within the seven-day limit, you shall be considered to have declined the award. Applicants may respond by e-mail, facsimile, or by mail.

(C) *Budget.* HUD will evaluate your proposed budget to determine if it is reasonable, clearly justified, and consistent with the intended use of grant funds. HUD is not required to approve or fund all proposed activities. Previously unfunded applicants may devote up to 36 months for the planning, implementation, and completion of lead hazard control activities. Current and prior grantees may devote up to 30 months, except those grantees awarded funds under the "Request for Renewal," for which up to 24 months can be devoted to those activities. You must thoroughly document and justify all budget categories and costs (Part B of Standard Form 424A).

Note: Current grantees eligible to submit a "Request for Renewal" are to complete the required budget forms included in the NOFA and develop a work plan strategy for conducting lead hazard control program activities during the 24-month period of performance. Do not respond to the Factors for Award listed below. The application kit will provide additional guidance for submitting an application.

(D) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are stated below. The maximum number of points to be awarded is 106. This maximum includes six bonus points as described in Section III(C)(1-3) of the

General Section of the SuperNOFA, which addresses EZ, Brownfield Showcase Communities, and a court-ordered consideration applicable to this program. A minimum score of 70 is required for fundable applications.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points for all applicants)

This factor addresses your organizational capacity necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's staff" for technical merit or threshold compliance, unless otherwise specified, includes any faith-based and other community-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to your project. In rating this factor, HUD will consider:

(1) The applicant's recent, relevant and successful demonstrated experience (including governmental and faith-based and other community-based partners) to undertake eligible program activities. The applicant must describe the knowledge and experience of the proposed overall project director and day-to-day program manager in planning and managing large and complex interdisciplinary programs, especially involving housing rehabilitation, public health, or environmental programs. The applicant must demonstrate that it has sufficient personnel or will be able to quickly retain qualified experts or professionals, to begin the proposed work program immediately after receiving an award and to perform lead hazard evaluation, lead hazard reduction, and other proposed activities in a timely and effective manner. In the narrative response for this factor, you should include information on your program staff, their experience, their commitment to the program, salary information, and position titles. Resumes (for up to three key personnel), position descriptions, and a clearly identified organizational chart for the lead hazard control grant program effort must be included in an appendix. Indicate the percentage of time that key personnel will devote to your project. The applicant's day-to-day program manager must be experienced in the management of housing rehabilitation or lead hazard control, or similar work involving project management, and must be dedicated to the proposed program for a minimum of 75% of the time. The applicant should provide a description of any previous experience in enrolling units and in completing lead hazard control work, housing

rehabilitation or other work in a timely and effective manner. Describe how any other principal components of your agency, other public entities, or other organizations will participate in implementing or otherwise supporting or participating in the grant program. You may demonstrate capacity by thoroughly describing your prior experience in initiating and implementing lead hazard control efforts and/or related environmental, health, or housing projects. You should indicate how this prior experience will be used in carrying out your proposed comprehensive Lead-Based Paint Hazard Control Grant Program.

(2) If the applicant received previous HUD Lead-Based Paint Hazard Control Grant funding, this past experience will be evaluated in terms of cumulative progress and achievements under the previous grant(s). Where the applicant has received multiple HUD Lead Hazard Control Grants, performance under the most recent grant award will be primarily evaluated. If you are a current or prior grantee, you must provide the detail necessary to assure HUD that you will implement the proposed work immediately and perform it concurrently with existing lead hazard control grant work. The applicant must provide a description of its progress and performance in implementing the most recent grant award including the total number of housing units enrolled, assessed, in progress and completed and cleared as of the most recent calendar quarter. The applicant must also describe results from other lead hazard control grant program work plan activities and tasks including results from efforts undertaken to build local capacity for lead hazard control; in implementing HUD's Lead-Safe Housing Rule; "mainstreaming" lead-safe work practices into the private market; and in conducting effective education, outreach, and other training activities. The applicant should also cite specific instances in which the program has made a positive impact in the community. These impacts could include decreases in the number of children with elevated blood lead levels in the target area, average blood lead levels, and dust lead levels. In addition, activities undertaken to develop, enhance or expand the local infrastructure through collaboration should also be discussed.

In evaluating applications for funding HUD will take into account an applicant's past performance in managing funds, including the ability to account for funds appropriately; timely use of funds received either from HUD or other Federal, State or local

programs; meeting performance targets for completion of activities and number of persons to be served or targeted for assistance. HUD may use information relating to these items based on information at hand or available from public sources such as newspapers, Inspector General or Government Accounting Office Reports or Findings, hotline complaints that have been proven to have merit, or other such sources of information.

In evaluating past performance, HUD may elect to deduct points from the rating score as specified under the Factors for Award or set threshold levels for performance as specified in the funding announcement.

Rating Factor 2: Needs/Extent of the Problem (20 points for all applicants)

This factor addresses the extent to which there is a need for the proposed program to address a documented problem and will be based on the evidence of lead poisoning, the presence of lead hazards, high risk children, and high risk housing in any proposed target area(s).

(1) Document a critical level of need for your proposed activities in the geographical area where activities will be carried out. Since an objective of the program is to prevent at-risk children from being poisoned, specific attention must be paid to documenting such need as it applies to the targeted areas, rather than the entire locality or state.

(2) Document the following for the target area(s):

(a) Numbers and percentages of children less than 72 months of age
i. numbers and percentages of children with elevated blood lead levels
ii. numbers and percentages of children tested for blood lead levels,

(b) Economic and demographic data relevant to the target area, including poverty and unemployment rates;

(c) Relevant housing market data available from HUD, or other data sources, including the Consolidated Plan/Analysis of Impediments, Public Housing Authority's Five Year Comprehensive Plan, State or local Welfare Department's Welfare Reform Plan, and;

(d) Other data relevant to the target area or jurisdiction that documents an unmet need for lead-safe housing. These data may include the number of units that have been occupied by lead poisoned children where the identified lead-based paint hazards have not been remediated; the number of lead-based paint health and/or housing code violations; or the number of pre-1978 or pre-1960 housing units anticipated to undergo rehabilitation in the next 12

months; the proportion or number of units with lead dust hazards; information about the principal sources of exposure in your community, their prevalence, and the segments and/or characteristics of the housing most affected by these exposure sources; and/or other information about housing condition.

(3) To the extent that statistics and other data contained in your community's Consolidated Plan or Analysis of Impediments to Fair Housing Choice (AI) and other data sources support the extent of the problem, you should include references to the Consolidated Plan, the AI or other data sources in your response.

(4) Provide information about the areas targeted for lead hazard control activities (data may be available from State or local sources, included in your currently approved Consolidated Plan or AI, derived from current Census Data, or available from special studies). The information to be provided includes the following:

(a) The age and condition of housing;

(b) The number and percentage of very-low (income less than 50% of the area median) and low (income less than 80% of the area median) income families, as determined by HUD, with adjustments for smaller and larger families;

(c) The number and proportion of children under six years (72 months) of age at risk of lead poisoning;

(d) The extent of the lead poisoning problem in children under six years (72 months) of age in target areas and the overall jurisdiction; and

(e) Other socioeconomic or environmental factors that demonstrate a need to establish or continue lead hazard control work in your jurisdiction.

(5) You also must provide documentation of the priority that the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice has placed on addressing the needs you described. If your application addresses needs that are in the Consolidated Plan, Analysis of Impediments to Fair Housing Choice, or the result of court orders or consent decrees, settlements, conciliation agreements, voluntary compliance agreements, and/or Childhood Lead Poisoning Prevention Programs or other relevant local initiatives you will receive more points than applicants that do not relate their program to identified needs.

(6) For you to receive maximum points for this factor, there must be a direct relationship between your proposed lead hazard control activities

in the target area(s) and the documented community needs.

Rating Factor 3: Soundness of Approach (40 points for previously unfunded applicants and 50 points for current or prior grantees)

This factor addresses the quality and cost-effectiveness of your proposed work plan and the demonstrated performance of current and prior grantees both in terms of units completed and LOCCS draw downs). You should present information on your proposed lead-based paint hazard control program and describe how it will satisfy the identified needs. To the extent possible, describe a comprehensive strategy to address the need to protect targeted neighborhoods rather than individual units or homes. Your response to this factor must include the following elements:

(1) *Lead Hazard Control Work Plan Strategy* (32 points for previously unfunded applicants; 42 points for current and prior grantees). Describe your work plan goals and specific time-phased strategy to complete work under the grant within the 36-month period of performance (30 months for existing grantees) for your lead hazard control grant program. You should provide information on:

(a) *Implementing a Lead Hazard Control Program* (13 points for previously unfunded applicants; 6 points for current or prior grantees). Describe how you will implement the strategy for your proposed lead hazard control program. The description must include information on:

(i) How the project will be managed and staffed, the steps taken to ensure the availability of lead-based paint contractors and workers to conduct lead hazard control interventions, and other activities needed during the planning phase of the program and prior to beginning actual lead hazard control intervention work. In addition, a detailed description of the selection process for sub grantees, subcontractors or sub-recipients, and how assistance and funding will flow from the grantee to the actual performers of work under the grant shall be provided.

(ii) The overall number of eligible privately owned housing units scheduled for lead hazard control intervention work and the strategy for their identification, selection, prioritization, and enrollment in the selected target area(s). Discuss the eligibility criteria for unit selection and how the program will identify units that meet these criteria. Explain how referrals of eligible units from childhood lead poisoning prevention programs,

other health or housing agencies or health providers that serve children will be obtained. Also discuss how referrals from the Section 8/Housing Choice Voucher programs and other agencies that provide housing assistance to low-income households with children including CDBG, Home-funded housing programs or other sources will be obtained. (Include as attachments any referral agreements, commitment letters or other documents from other entities that describe their participation in recruiting eligible units in the lead hazard control grant program.) (See Rating Factor 4 Leveraging Resources and Rating Factor 5 Coordination, Self-Sufficiency and Sustainability). Provide estimates of the total number of owner occupied and/or rental units that will receive lead hazard control. You should describe how the program will respond to the needs of children with elevated blood lead levels located outside the target area(s).

(iii) The degree to which the work plan focuses on eligible privately-owned housing units occupied by low-income families with children under six years (72 months) of age. Describe your planned approaches to control lead hazards in vacant and/or occupied units before children are poisoned and your plans to ensure that the program will continue to match these units with low-income families with children under six years (72 months) of age in the future. Discuss strategies to control lead hazards in units where children have already been identified with an elevated blood lead level, including your process for referring and tracking children with elevated blood lead levels for medical case management, and your capacity to rapidly complete lead hazard control work in their units. Also describe your process for referrals of EBL-occupied units that do not meet all the eligibility criteria for inclusion in the lead hazard control grant program. Provide estimates of the number of children you will assist through this program.

(iv) The lead hazard control financing strategy, including eligibility requirements, terms, conditions, dollar limits, and amounts available for lead hazard control work. You must discuss the way assistance from the grant funds will be administered to or on behalf of property owners (e.g. use of grants, deferred loans and/or forgivable loans and the basis and schedule for forgiveness), and the role of other resources, such as private sector financing), as well as the entity that will administer the financing process. Describe any matching requirements proposed for assistance to rental property owners.

(v) You should describe how your proposed program will satisfy the stated needs in the Consolidated Plan. Describe how your proposed program will further and support the policy priorities of the Department, including promoting healthy homes; providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs; or providing educational and job training opportunities. Describe how your strategy will provide long-term benefits to families with children under six years of age. Describe whether any of the proposed activities will occur in an EZ/EC and how they will benefit the residents of those zones or communities.

(b) *Lead Hazard Control Outreach and Community Private Sector Involvement* (6 points for all applicants). Applicants are encouraged to solicit participation of faith-based and other community-based and private sector organizations to accomplish outreach and community involvement activities and to build long-term capacity and sustain accomplishments in the target area. Applicants that partner, fund, or subcontract with faith-based and other community-based organizations will receive higher points in this sub factor. Your application must describe:

(i) Proposed methods of community education. These may include community awareness, education, training, and outreach programs in support of the work plan and objectives. This description should include general and/or targeted efforts undertaken to assist your program in reducing lead exposure. Programs should be culturally sensitive, targeted, and linguistically appropriate. Upon request, this would include making materials available in alternative formats to persons with disabilities (e.g., Braille, audio, large type), and in other languages common to the community to the extent possible.

(ii) Strategy for involving neighborhood or faith-based and other community-based organizations in your proposed activities. Your activities may include training (including training residents to screen houses through visual assessment and sampling), outreach, community education, marketing, inspection (including dust lead testing), and the conduct of lead hazard control activities. HUD will evaluate the level of substantive involvement during the review process.

(iii) Strategies and methodologies that affirmatively further fair housing and increase access to lead-safe housing for all segments of the population: homeowners, owners of rental properties, and tenants. This outreach

should address ways to avoid housing discrimination against families with young children, and ways to ensure that all families will have adequate, lead-safe housing choices in the future.

(c) *Technical Approach/Performance* (13 points for previously unfunded applicants; 30 points for current or prior grantees). (Previously unfunded applicants are to respond to items (c) i–vii below)

(Current or prior grantees will be evaluated on the basis of cumulative unit production and cumulative LOCCS draw downs made under the grantee's most recent award for the period ending March 31, 2002. Current and prior grantees do not need to respond to items (c) i–vii below but are to provide a response for items viii and ix)

For Previously Unfunded Applicants

(i) Describe your process for the conduct of lead hazard evaluation (risk assessments and/or inspections) in units of eligible privately owned housing to confirm that there are lead-based paint hazards in the housing units where lead hazard control is undertaken. You may use the results of a valid risk assessment or inspection that had been previously performed within that past 6 months by certified inspectors or risk assessors in accordance with the HUD Guidelines if the report identified lead-based paint hazards and it is evident that hazards remain.

(ii) Describe your testing methods, schedule, and costs for performing blood lead testing, risk assessments, inspections and clearance examinations to be used. If you propose to use a more restrictive standard than the HUD/EPA thresholds (e.g., less than 0.5% or 1.0 mg/ square centimeter for lead in paint, or less than 40, 250, 400 mg/square foot for lead in dust on floors, sills and troughs respectively); or 400 ppm in bare soil in children's play areas and 1200 ppm for bare soil in the rest of the yard), identify the standard(s) which will be used. All testing shall be performed in accordance with applicable regulations.

(iii) Describe the lead hazard control methods and strategies that you will undertake and the number of units you will treat for each method selected (interim controls or hazard abatement). Complete abatement of all lead painted surfaces in all units is generally not acceptable as a strategy. In cases where only a few surfaces have lead hazards in a specific unit and abatement is cost-effective, the applicant must provide a detailed rationale for selecting complete abatement as a strategy. Provide an estimate of the per unit costs (and a basis for those estimates) for each lead hazard control method proposed and a